



Receipt #8
PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the **PATENT APPLICATION** of:

Michael Dadd

Our File: SHP-PT058

Application No.: 09/530,629

Date: August 31, 2000

Filed: June 16, 2000

For: ELECTROMECHANICAL TRANSDUCER

Group: 2834

Examiner: Not Yet Known

REQUEST FOR CORRECTED FILING RECEIPT

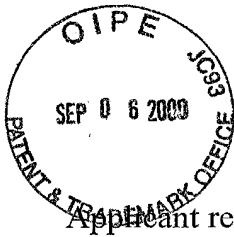
Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, D.C. 20231

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JAN - 9 2001
TECHNOLOGY CENTER 2800

Sir:

Enclosed is a marked-up copy of the filing receipt for the above-identified patent application. Upon proofing, it was noted that the filing receipt was incorrect. There is one change that needs to be made.

With respect to the Entity Status, insert -- SMALL ENTITY -- where appropriate. Enclosed in support of this request is a copy of the Declaration Supporting Claim For Small Entity Status By Small Business Concern submitted with the June 14, 2000 Refund Request.

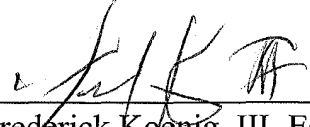


Applicant: Michael Dadd
Application No.: 09/530,629

Applicant respectfully requests that a corrected Filing Receipt be issued.

Respectfully submitted,

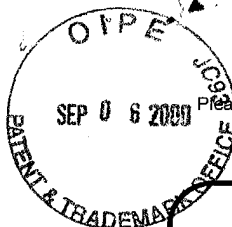
Michael Dadd

By 
C. Frederick Koenig, III, Esquire
Registration No. 29,662
(215) 568-6400

Volpe and Koenig, P.C.
Suite 400, One Penn Center
1617 John F. Kennedy Boulevard
Philadelphia, PA 19103

CFK/fap
Enclosures (2)

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2000

PCT Receipt

Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (6-98)
Approved for use through 09/30/2000. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

+

2834

TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/530,629
	Filing Date	June 16, 2000
	First Named Inventor	Michael Dadd
	Group Art Unit	Not Yet Known
	Examiner Name	Not Yet Known
Total Number of Pages in This Submission	Attorney Docket Number	SHP-PT058

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached	<input type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	<input type="checkbox"/> Terminal Disclaimer	Request for Corrected Filing Receipt (2 pgs.) w/Attachments (2 pgs.)
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Small Entity Statement	
	<input type="checkbox"/> Request for Refund	
Remarks		

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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
Firm or Individual name	C. Frederick Koenig III, Esquire Volpe and Koenig, P.C.	Reg. No. 29,662
Signature		
Date	August 31, 2000	

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Office of Initial Patent Examination, Commissioner for Patents, Washington, D.C. 20231 on this date: August 31, 2000			
Typed or printed name	C. Frederick Koenig III, Esquire		
Signature		Date	8/31/00

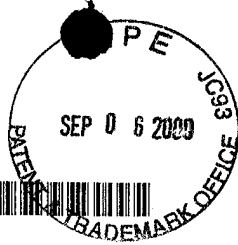
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Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

FILING RECEIPT



OC00000005271789

UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark OfficeAddress: ASSISTANT SECRETARY AND
COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/530,629	06/19/2000	2834	485	SHP-PT058	15	16	1

C FREDERICK KOENIG III
VOLPE AND KOENIG
1617 JOHN F KENNEDY BOULEVARD
SUITE 400 ONE PENN CENTER
PHILADELPHIA, PA 19103

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AM/PM

JUL 31 2000

VOLPE & KOENIG, P.C.

Date Mailed: 07/27/2000

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. **If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the PTO processes the reply to the Notice, the PTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).**

Applicant(s)

MICHAEL DADD, OXFORD, UNITED KINGDOM;

Continuing Data as Claimed by Applicant

THIS APPLICATION IS A 371 OF PCT/GB98/03298 11/03/1998

Foreign Applications

UNITED KINGDOM 9723194.8 11/03/1997

If Required, Foreign Filing License Granted 07/26/2000

- SMALL ENTITY

Title

ELECTROMECHANICAL TRANSDUCER

Preliminary Class

310

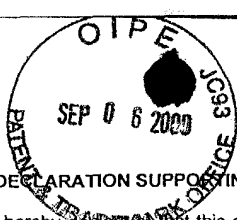
Data entry by : BARRETO, NGA

Team : OIPE

Date: 07/27/2000



DOCKETED FOR 8/10/00 Request for corrected
filing receipt



DECLARATION SUPPORTING CLAIM FOR SMALL ENTITY STATUS BY SMALL BUSINESS CONCERN

The undersigned hereby declares that this statement is made to support a claim by the below identified entity for purposes of paying reduced fees under Sections 41(a) and (b) of Title 35, United States Code, with regard to an invention:

Entitled ELECTROMECHANICAL TRANSDUCER

invented by MICHAEL DADD

and described in:

☐ the specification filed herewith.

☒ application Serial No. PCT/GB98/03298, filed 3 November 1998

☐ Patent No. _____, issued _____

☐ a. I am/we are the inventor(s) of the above-identified application.

☐ b. I/we would qualify as (an) independent inventor(s) as defined in 37 C.F.R. 1.9(c) if I/we had made the above-identified application, and rights under contract law with regard to the above-identified invention have been conveyed to and remain with me/us.

☒ c. I am ☐ the owner

☒ an official of the below-identified small business concern;

rights under contract law with regard to the above-identified invention have been conveyed to and remain with the below-identified small business concern; and this concern qualifies as a small business concern as defined in 13 C.F.R. 121.3-18, and reproduced in 37 C.F.R. 1.9(d), for purposes of paying reduced fees under sections 41(a) and (b) of Title 35, United States Codes, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons, said number being determined and said affiliates being defined in 13 C.F.R. 121.3-18.

No rights in the invention have been assigned, granted, conveyed or licensed or further assigned, granted, conveyed or licensed, and there is no obligation under contract or law to assign, grant, convey or license, or further assign, grant, convey or license such rights to any person who could not be classified as an independent inventor under 37 C.F.R. 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 C.F.R. 1.9(d) or a nonprofit organization under 37 C.F.R. 1.9(e).

Each person, concern or organization to which any rights in the invention have been assigned, granted, conveyed, or licensed or further assigned, granted, conveyed, or licensed or further assign, grant, convey or license, or as to where there is an obligation under contract or law to assign, grant, convey, or license such rights is listed below:

☒ no such person, concern, or organization
☐ persons, concerns or organizations listed below*

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. 1.27)

FULL NAME _____

ADDRESS _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

FULL NAME _____

ADDRESS _____

☐ INDIVIDUAL

☐ SMALL BUSINESS CONCERN

☐ NONPROFIT ORGANIZATION

I/we acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. 1.28(b))

I/we further declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent issuing thereon, or any patent to which this declaration is directed.

NAME _____

SIGNATURE _____

DATE _____

NAME _____

SIGNATURE _____

DATE _____

ISIS INNOVATION LIMITED, Ewert House, Ewert Place, Summertown, Oxford, OX2 7BZ, United Kingdom.

NAME OF SMALL BUSINESS CONCERN

ADDRESS

DR TIM COOK

NAME OF AUTHORIZED REPRESENTATIVE

SIGNATURE T Cook

DATE 26.5.00

Managing Director on behalf of Isis Innovation Limited, a wholly owned subsidiary of the Chancellor, Masters & Scholars of the University of Oxford, a non-profit educational organisation.

TITLE